

Summary of Changes

to

P 450.4-12B

Environment, Safety, and Health Reporting

Revised Version Issued as P 231.1-3 of 9/15/04

NETL Procedure 450.4-12B, Environment, Safety, and Health Reporting, of 3/8/04, has undergone revisions. The number of the directive is being changed from the 450 series to the 231 series to be consistent with other directives in the same series. Other minor changes were made for clarity. Please replace NETL Procedure 450.4-12B with NETL Procedure 231.1-3.

U.S. Department of Energy

National Energy Technology Laboratory

PROCEDURE

P 231.1-3

DATE: 9/15/04

SUBJECT: ENVIRONMENT, SAFETY, AND HEALTH REPORTING

1. PURPOSE. To ensure collection and reporting of environment, safety, and health (ES&H) information that is required on a scheduled basis by DOE, law, or regulation, or that is essential for evaluating NETL operations and identifying opportunities for improvement needed for planning purposes.
2. CANCELLATION. This Procedure replaces NETL Procedure 450.4-12B, Environment, Safety, and Health Reporting, of 3/8/04.
3. REFERENCES.
 - a. DOE Order 231.1, [Environment, Safety, and Health Reporting](#).
 - b. DOE Order 420.1, [Facility Safety](#).
 - c. DOE Order 440.1, [Worker Protection Management for DOE Federal and Contractor Employees](#).
 - d. DOE Order 451.1, [National Environmental Policy Act Compliance Program](#).
 - e. DOE Manual 231.1-1, [Environment, Safety, and Health Reporting Manual](#).
 - f. NETL Operating Plan 440.1-5, [Fire Protection Program](#).
 - g. NETL Procedure 231.1-2, [Injury/Illness/Property Damage Investigation and Reporting](#).
 - h. NETL Procedure 451.1-1, [NEPA Implementation](#).
 - i. Forms:
 - (1) DOE Form 5484.3, [Individual Accident/Incident Report](#).
 - (2) DOE Form 5484.4, [Tabulation of Work Hours, Vehicle Usage, and Property Valuation](#).

INITIATED BY: Office of Institutional and Business Operations
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- (3) OSHA Form 300, [Log of Work-Related Injuries and Illnesses](#).
- (4) OSHA Form 300A, [Summary of Work-Related Injuries and Illnesses](#).
- j. Statutory ES&H Standards:
 - (1) 29 CFR 1904 -- Recordkeeping and Reporting Occupational Injuries and Illnesses.
 - (2) 29 CFR Part 1960 (Basic Program Elements for Federal Employees), Subpart I -- Recordkeeping and Reporting Requirements.

4. DEFINITIONS.

- a. ASER -- Annual Site Environmental Report.
- b. CAIRS -- Computerized Accident/Incident Reporting System.
- c. ORPS -- Occurrence Reporting and Processing System.

5. QUALITY CONTROL. The quality of information reported using this Procedure shall be the responsibility of the Director, ES&H Division.

6. RESPONSIBILITIES.

- a. The NETL CAIRS Manager shall:
 - (1) Prepare and submit NETL's *Work-Related Fatalities, Injuries, and Illnesses Report* (which includes all of NETL's reporting Federal and contractor organizations) to the appropriate person/agency according to the format, schedule, and process outlined in DOE M 231.1-1, Environment, Safety, and Health Reporting Manual.
 - (2) Provide NETL's *Work-Hours and Vehicle Usage Information* (the latter in concert with NETL's Property Manager) to the appropriate person/agency according to the format, schedule, and process outlined in DOE M 231.1-1, Environment, Safety, and Health Reporting Manual.
 - (3) Post the OSHA Summary (Form 300A), as required per 29 CFR 1904 by February 1st of each year, following the year covered by the form and keep it posted until April 30th of that year.
- b. The NETL Property Manager shall provide vehicle usage information to the NETL CAIRS Manager.

- c. The NETL Fire Protection Program Manager shall prepare and submit NETL's *Annual (Calendar Year) Summary of Fire Damage Report* to the appropriate person/agency according to the format, schedule, and process outlined in DOE M 231.1-1, Environment, Safety, and Health Reporting Manual.
- d. The NETL Occupational Medicine Program Manager shall:
 - (1) Submit any *epidemiologic analysis related to excess injuries and illnesses*, according to the format, schedule, and process outlined in DOE M 231.1-1, Environment, Safety, and Health Reporting Manual.
 - (2) Notify the Assistant Secretary for Environment, Safety, and Health of suspected excesses of illnesses or injuries that require epidemiologic analyses to determine if the excesses are work related.
 - (3) Submit occupational safety and health (OSH) information in support of epidemiological studies conducted by external organizations and OSH information, upon request, to Centers for Disease Control officials, state health officials, their contractors, and/or grantees conducting epidemiological studies according to the format, schedule, and process outlined in DOE M 231.1-1, Environment, Safety, and Health Reporting Manual.
- e. The NETL NEPA Compliance Officer shall prepare and submit the NETL's *National Environmental Policy Act Planning Summary* to the appropriate person/agency according to the format, schedule, and process outlined in DOE M 231.1-1, Environment, Safety, and Health Reporting Manual.
- f. The NETL Director, ES&H Division shall prepare and submit NETL's *Annual Site Environmental Report (ASER)* to the appropriate person/agency according to the format, schedule, and process outlined in DOE M 231.1-1, Environment, Safety, and Health Reporting Manual.
- g. The NETL ES&H Program Managers shall prepare and submit required reports as outlined in the "NETL Register of Periodic ES&H Requirements."

7. TRAINING REQUIREMENTS. The CAIRS Manager, Property Manager, Occupational Medicine Program Manager, NEPA Compliance Officer, Environmental Managers, and ES&H Program Managers shall be familiar with this Procedure. No recurring training is required.

8. DOCUMENT CONTROL.

- a. This Procedure shall be controlled following NETL document control procedures.
- b. Reports, documents, and other submissions associated with implementing this Procedure's requirements shall be archived in the NETL ES&H Records Center.

9. PROCEDURE.

- a. Reporting Guidelines -- Reports, documents, and other submissions listed in this Procedure shall be prepared and submitted in accordance with DOE M 231.1-1, Environment, Safety, and Health Reporting Manual, which specifies in detail the reports that shall be filed, the persons or organizations responsible for filing the reports, the recipients of the reports, the format in which reports shall be prepared, and the time schedules on which the reports shall be filed.
- b. DOE Reporting Requirements -- NETL shall meet the following DOE reporting requirements:

(1) *Work-Related Fatalities, Injuries, and Illnesses.*

- Report *work-related fatalities, injuries, and illnesses* occurring among DOE and on-site contractor employees arising out of work primarily performed at DOE-owned or -leased facilities (see DOE M 231.1-1, Chapter II, paragraphs 2a and 2b). Reporting includes preparation of “Log and Summary of Occupational Injuries and Illnesses” (i.e., OSHA 300 log) to log and summarize all occupational injuries and illnesses occurring to employees and DOE Form 5484.3, “Individual Accident/ Incident Report” to record and report work-related injuries and illnesses.
- Submit a legible copy of each new or revised DOE Form 5484.3, Individual Accident/Incident Report, quarterly (on or before the 25th of April, July, October, and January) for receipt by the Computerized Accident/ Incident Reporting System (CAIRS) Data Coordinator. Reports shall be addressed to the CAIRS Data Coordinator, U.S. Department of Energy, EH-72, Building 270 Corporate Center, 19901 Germantown Road, Germantown, MD 20874-1290. Note: These submissions can also be made electronically using the DOE computerized CAIRS.
- Please see NETL Procedure 231.1-2, Injury/Illness/Property Damage Investigation and Reporting, for more detailed information on investigating and reporting NETL accidents, injuries, and illnesses.

(2) *Work-Related Damage or Loss of Property and Vehicles.*

- Report *work-related damage or loss of property and vehicles due to accidents* (see DOE M 231.1-1, Chapter II, paragraph 2c). This includes estimated loss or damage to DOE property or other property amounting to \$5,000 or more, or estimated costs of \$5,000 or more for cleaning (including decontamination), renovating, replacing, or rehabilitating structures, equipment, or property.

- Consider as a “recordable case” and report estimated damage of \$1,000 or more that involves Government-owned, -rented, or -leased vehicles or privately owned vehicles operated while on official business.

(3) *Work-Hours and Vehicle Usage.*

- Report *work-hours and vehicle usage* in accordance with DOE M 231.1-1, Chapter II, paragraph 2f, including total quarterly work-hours and vehicle usage, on a calendar year basis, for use in normalizing DOE accident statistics.
- Use DOE Form 5484.4.
- Submit form before the 25th of each January, April, July, and October to CAIRS Data Coordinator.

(4) *Annual (Calendar Year) Estimated Property Valuation.*

- Report *Annual Estimated Property Valuation* in accordance with DOE M 231.1-1, Chapter II, paragraph 2g, including annual (on a calendar year basis) estimates of property valuation for use in normalizing DOE accident statistics.
- Use DOE Form 5484.4.
- Submit form to DOE CAIRS Data Coordinator on or before March 31st annually.

(5) *Annual (Calendar Year) Summary of Fire Damage.*

- Submit *Annual Summary of Fire Damage* report in accordance with DOE M 231.1-1, Chapter II, paragraph 3 and Appendix F, and DOE Order 420.1, Facility Safety.
- Submit report to the DOE fire protection authority having jurisdiction by March 31st of the following calendar year.

(6) *Epidemiological Information.*

- Submit any *epidemiologic analyses* related to excess injuries and illnesses in accordance with DOE M 231.1-1, Chapter II, paragraph 4. Notify the Assistant Secretary for Environment, Safety, and Health of suspected excesses of illnesses or injuries that require epidemiologic analyses to determine if the excesses are work related.

- Submit occupational safety and health (OSH) information in support of epidemiological studies conducted by external organizations in accordance with DOE M 231.1-1, Chapter II, paragraph 5. Submit OSH information, upon request, to Centers for Disease Control officials, state health officials, their contractors, and grantees conducting epidemiological studies.

(7) *National Environmental Policy Act.*

- Submit *National Environmental Policy Act Report* in accordance with DOE M 231.1-1, Chapter I, paragraph 2. This annual report shall include:
 - Progress made in implementing, and the effectiveness of, any commitment for environmental impact mitigation that is essential to render the impact of a proposed action not significant or that is made in a record of decision; and
 - *A National Environmental Policy Act Planning Summary.*
- Submit report by January 31st of each year to the Assistant Secretary of Environment, Safety, and Health.

(8) *Annual Site Environmental Report.*

- Prepare *Annual Site Environmental Report (ASER)* in accordance with DOE M 231.1-1, Chapter I, paragraph 1. This report shall include a summary of environmental data so as to characterize site environmental management performance.
- Prepare report by October 1st of the following year (e.g., CY 2003 report due by October 1, 2004) and submit to the Assistant Secretary for Environment, Safety, and Health.

c. Additional ES&H Reporting Requirements.

- (1) NETL's additional ES&H reporting requirements are contained in "NETL's Register of Periodic ES&H Implementing Requirements" available on NETL's Intranet. These include both external regulatory reporting (i.e., Federal, state, and local) and internal reporting (i.e., DOE/NETL organizational requirements not previously listed) requirements. This register includes information on additional reporting deliverables, their periodicity, their intended recipients, and the responsible persons for their preparation and submission.

- (2) These additional requirements are typically described in detail in NETL's other ES&H-related directives and/or through contractor's statements of work.

Associate Director, OIBO